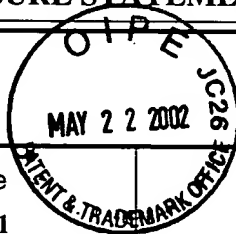


STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT

Docket No.
UC97-156-8

In Re Application Of:
SOLGAARD, O. ET AL.



#10
IPS
KJT
5/31/02

Serial No.
09/849,096

Filing Date
MAY 4, 2001

Examiner

Group Art Unit
2874

Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☐ Each item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Statement Under 37 CFR 1.97(e)(2)

- ☒ No item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.


Signature

Dated: May 22, 2002

JOHN P. O'BANION, REG. NO. 33,201
O'BANION & RITCHEY LLP
400 CAPITOL MALL, SUITE 1550
SACRAMENTO, CA 95814
(916) 498-1010

I certify that this document is being deposited on
with the U.S. Postal Service as first
class mail under 37 C.F.R. 1.8 and is addressed to the
Assistant Commissioner for Patents, Washington, D.C.
20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

CC:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): SOLGAARD, O. ET AL.

Docket No.

UC97-156-8

Serial No.

09/849,096

Filing Date

MAY 4, 2001

Examiner

LEE, J.

Group Art Unit

2874

Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

RECEIVED
MAY 29 2002
TC 2800 MAIL ROOM

I hereby certify that the following correspondence:

Statement Under 37 CFR 1.97(e) Accompanying Information Disclosure Statement (Page 1)

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

May 22, 2002

(Date)

Jerry V. King

(Typed or Printed Name of Person Mailing Correspondence)


(Signature of Person Mailing Correspondence)EL737163690US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
UC97-156-8

In Re Application Of: SOLGAARD, O. ET AL.

Serial No.
09/849,096

Filing Date
MAY 4, 2001

Examiner

Group Art Unit
2874

Title: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☒ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
 2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☒ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

UC97-156-8

In Re Application Of: SOLGAARD, O. ET AL.

Serial No.

09/849,096

Filing Date

MAY 4, 2001

Examiner

Group Art Unit

2874

Title: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
- ☐ Charge any additional fee required.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____)

on _____
(Date)

Signature

Typed or Printed Name of Person Signing Certificate

Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence


*This certificate may only be used if paying by deposit account.

Dated: May 22, 2002

Signature

JOHN P. O'BANION, REG. NO. 33,201
O'BANION & RITCHEY LLP
400 CAPITOL MALL, SUITE 1550
SACRAMENTO, CA 95814
(916) 498-1010

CC:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No.	
Applicant(s): SOLGAARD, O. ET AL.			UC97-156-8	
Serial No. 09/849,096	Filing Date MAY 4, 2001	Examiner LEE, J.	Group Art Unit 2874	
Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH				
<p>I hereby certify that the following correspondence:</p> <div><p>Transmittal of Information Disclosure Statement Under 37 CFR 1.97(c) (Page 1 & 2)</p><p>(Identify type of correspondence)</p></div> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on</p> <p><u>May 22, 2002</u> (Date)</p> <div><p><u>Jerry V. King</u> (Typed or Printed Name of Person Mailing Correspondence)</p><p><u></u> (Signature of Person Mailing Correspondence)</p><p><u>EL737163690US</u> (("Express Mail" Mailing Label Number)</p></div>				

Note: Each paper must have its own certificate of mailing.

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): SOLGAARD, O. ET AL.

Docket No.

UC97-156-8

Serial No.

09/849,096

Filing Date

MAY 4, 2001

Examiner

LEE, J.

Group Art Unit

2874

Invention: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

I hereby certify that the following correspondence:

Information Disclosure Citation (PTO-1449) (Page 1)*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

May 22, 2002*(Date)*Jerry V. King*(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)*EL737163690US*("Express Mail" Mailing Label Number)*

Note: Each paper must have its own certificate of mailing.

RECEIVED
MAY 29 2002
TC-2800 MAIL ROOM